

**Element Performance Inspection (EPI) Data Collection Tool**  
**4.2.1 Maintenance / Required Inspection Item (RII) Training Program (AW)**  
**Revision#: 8 Revision Date: 07/24/2015**

**ELEMENT SUMMARY INFORMATION**

**Scope of Element:**

**Purpose** (operator's responsibility): To ensure that all maintenance personnel (including maintenance providers and inspection personnel) are fully trained and competent to perform their duties.

**Objective** (FAA oversight responsibility): To determine:

- The effectiveness of the operator's procedures in meeting the desired output of the process,
- If the operator follows its procedures, controls, process measurements, and interfaces, and
- If there were any changes in the personnel identified by the operator as having responsibility and/or authority, for the Maintenance / Required Inspection Item (RII) Training Program.

**Specific Instructions:**

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**Related EPIs:**

Intentionally left blank

**SUPPLEMENTAL INFORMATION**

**Regulatory Requirements:**

- 121.135, Manual contents
- 121.367, Maintenance, preventive maintenance, and alterations programs.
- 121.369, Manual requirements.
- 121.371, Required inspection personnel.
- 121.373, Continuing analysis and surveillance.
- 121.375, Maintenance and preventive maintenance training program.

**Related CFRs & FAA Policy/Guidance:**

**Related CFRs:**

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**FAA Policy/Guidance:**

- FAA Order 8900.1, Volume 3, Chapter 24, Section 1
- FAA Order 8900.1, Volume 3, Chapter 24, Section 2
- AC 65-31, Training Qualification and Certification of NDI Personnel
- AC 120-16 Air Carrier Maintenance Programs
- AC 120-72 Maintenance Resource Management Training



EPI SECTION 1 - PERFORMANCE OBSERVABLES	
<b>Objective:</b> The tasks and questions in this section of the EPI are designed to assist in determining if the operator follows its written procedures and controls and meets the established performance measures of the process. The initial series of questions address the output(s) of the process and the last several questions address whether or not various aspects of the process were followed.	
<b>Tasks</b>	
	The inspector shall accomplish the following tasks:
1	Review the information listed in the Supplemental Information Section of this DCT.
2	Review policies, procedures, instructions, and information for this element.
3	Review the most recently accomplished Safety Attribute Inspection (SAI) for this element.
4	Observe the performance of this element to gain an understanding of the procedures, instructions, and information.
5	Discuss this element with the personnel who perform the duties and responsibilities required by the process.

Questions		
1.1	<p>Was training given per the training program for:</p> <ul style="list-style-type: none"> <li>• Maintenance,</li> <li>• Preventive maintenance, or</li> <li>• Required inspection item (RII) functions?</li> </ul> <p>Updated: Rev # 3 on 12/03/2009            Kind Of Question: Flag, Supplemental, Domestic</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> <li>1. Check, at the training records repository, that company indoctrination training was accomplished in accordance with Certificate Holder's design.   <i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 24, Section 1</li> <li>2. Check, at the training center, through course observation, that indoctrination training instructs maintenance and inspection personnel in the use of its policies, procedures, manuals and forms in accordance with the Certificate Holder's design.   <i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 24, Section 1</li> <li>3. Check, at the training center, through course observation, that company formal technical training is accomplished in accordance with Certificate Holder's design.   <i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 24, Section 1</li> </ol>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable



	<p>4. Check, at the air carrier specified location that company on-the-job technical training is accomplished in accordance with Certificate Holder's design.</p> <p>Sources: FAA Order 8900.1, Volume 3, Chapter 24, Section 1</p>	
1.2	<p>Was a list, or other similar method, that defines the program's required training tasks maintained and current for:</p> <ul style="list-style-type: none"> <li>• Maintenance,</li> <li>• Preventive maintenance, or</li> <li>• Required inspection item (RII) functions?</li> </ul> <p>Updated: Rev # 3 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.3	<p>Were training records complete and current for maintenance and inspection personnel?</p> <p><b>Note(s):</b> <i>Completed training records should show that the required training tasks defined by the program were accomplished. The method of defining the required training tasks may be in the form of a list or other similar method.</i></p> <p>Updated: Rev # 3 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.4	<p>Did the operator's NDI training program ensure personnel were:</p> <ul style="list-style-type: none"> <li>• Knowledgeable of the applications and limitations of the various NDI methods,</li> <li>• Trained to conduct both the performance of NDT tests and the interpretation of results, and</li> <li>• Trained and qualified in accordance with industry-accepted standards?</li> </ul> <p><b>Note(s):</b> <i>The NDI training and qualification program must include classroom training, an examination and/or demonstration of proficiency, OJT, and recertification/recurrent training.</i></p> <p>Updated: Rev # 6 on 06/23/2014 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable <input type="checkbox"/> Not Observable
1.5	<p>The NDI training and qualification program must include classroom training, an examination and/or demonstration of proficiency, OJT, and recertification/recurrent training.</p> <p>Updated: Rev # 6 on 06/23/2014 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable <input type="checkbox"/> Not Observable
1.6	<p>Did the operator maintain the current training status of maintenance and inspection personnel?</p> <p>Updated: Rev # 3 on 12/03/2009</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable



	<p>Kind Of Question: Flag, Supplemental, Domestic</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> <li>1. Check, at the air carrier specified location, that training records for maintenance and inspection personnel were maintained in locations per the operators design.  <i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 24, Section 1</li> <li>2. Check, at the air carrier specified location, that training was recorded and indicates the amount of formal and on-the job training each individual received per the operators design.  <i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 24, Section 1</li> <li>3. Check, at the training center, previous training for new RII inspectors was documented per the operators design.  <i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 24, Section 1</li> </ol>	
1.7	<p>Did the quality and content of outsourced training meet the operator's training program requirements?</p> <p>Updated: Rev # 3 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> <li>1. Check, at the training center, that contract training instructor qualifications were determine using acceptability criteria in accordance with the Certificate Holder's design.  <i>Sources:</i> FAA Order 8900.1, Vol 3, Chapter 24, Section 1.</li> <li>2. Check, at the training center, that the appropriateness of contract training reference material being used was established in accordance with the Certificate Holder's design.  <i>Sources:</i> FAA Order 8900.1, Vol 3, Chapter 24, Section 1.</li> <li>3. Check, at the training center, that the acceptability of contract training reporting procedures to inform the operator of student progress was determined in accordance with the Certificate Holder's design.  <i>Sources:</i> FAA Order 8900.1, Vol 3, Chapter 24, Section 1.</li> <li>4. Check, at the training center, that student progress was reported by the contractor in accordance with established and Certificate Holder accepted procedures.  <i>Sources:</i> FAA Order 8900.1, Vol 3, Chapter 24, Section 1.</li> <li>5. Check, at the training center, that the contractors training syllabus was evaluated in accordance with the Certificate Holder's design.  <i>Sources:</i> FAA Order 8900.1, Vol 3, Chapter 24, Section 1.</li> </ol>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable <input type="checkbox"/> Not Observable



1.8	<p>Were deficiencies within the training program identified and corrected?</p> <p><b>Note(s):</b>  <i>Changes to the operator's Continuous Airworthiness Maintenance Program that affect training courses should be identified and incorporated.</i></p> <p>Updated: Rev # 3 on 12/03/2009          Kind Of Question: Flag, Supplemental, Domestic</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> <li>1. Check, at the training center, that identified deficiencies discovered through the Continuous Analysis and Surveillance and/or Reliability Program were incorporated into its recurrent training in accordance with the Certificate Holder's design.   <i>Sources:</i> FAA Order 8900.1, Vol 3, Chapter 24, Section 1.</li> <li>2. Check, at the training center, through review of the training syllabus, that indoctrination training subjects were upgraded in recurrent training in accordance with the Certificate Holder's design.   <i>Sources:</i> FAA Order 8900.1, Vol 3, Chapter 24, Section 1.</li> <li>3. Check, at the training center, through review of the training syllabus, that subjects were upgraded in recurrent training in accordance with the Certificate Holder's design.   <i>Sources:</i> FAA Order 8900.1, Vol 3, Chapter 24, Section 1.</li> </ol>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.9	<p>Did maintenance and inspection personnel received initial and recurrent training in a timely manner?</p> <p>Updated: Rev # 3 on 12/03/2009          Kind Of Question: Flag, Supplemental, Domestic</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> <li>1. Check, at the training center, that a schedule for recurrent training was maintained in accordance with the Certificate Holder's design.   <i>Sources:</i> FAA Order 8900.1, Vol 3, Chapter 24, Section 1.</li> </ol>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.10	<p>Were instructors trained, qualified, and authorized to perform their duties?</p> <p>Updated: Rev # 3 on 12/03/2009          Kind Of Question: Flag, Supplemental, Domestic</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> <li>1. Check, at the training center, that a file on each maintenance and RII instructor consisting of instructor qualifications and authorizations is maintained in accordance with the operators design.   <i>Sources:</i> FAA Order 8900.1, Vol 3, Chapter 24, Section 1</li> </ol>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.11	<p>Did the observed training cover the subject matter contained in the training</p>	<input type="checkbox"/> Yes



	<p>program for:</p> <ul style="list-style-type: none"> <li>• Maintenance,</li> <li>• Preventive maintenance, and</li> <li>• Required inspection item (RII) functions?</li> </ul> <p>Updated: Rev # 3 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.12	<p>Did the training include an evaluation indicating the participant completed the training?</p> <p>Updated: Rev # 3 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.13	<p>Did the training provide current information regarding the following:</p> <ul style="list-style-type: none"> <li>• Required inspection policy and procedures,</li> <li>• How to identify required inspection items (RII),</li> <li>• How to accomplish required inspection item (RII) tasks (including aircraft specific requirements) and any special techniques or practices, and</li> <li>• New equipment used to perform required inspections?</li> </ul> <p><b>Note(s):</b>  <i>The scope and detail of training for required inspection items may differ for maintenance and inspection personnel based on their duties and responsibilities.</i></p> <p>Updated: Rev # 3 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> <li>1. Check, at the training center, that the certificate holders RII training program syllabus contains information on the designation of the items of maintenance and alteration that must be inspected (required inspection item system/component listing).   <i>Sources:</i> Sources: 121.135(a)(1); 121.369(b)(2); 121.375</li> <li>2. Check, at the training center, through course observation, that training on the designation of the items of maintenance and alteration that must be inspected (RII system/component listing) is provided to persons authorized to perform required inspections in accordance with the certificate holders design.   <i>Sources:</i> Sources: 121.135(a)(1); 121.369(b)(2); 121.375</li> <li>3. Check, at the training center, through course observation, that training on procedures to ensure that all required inspections are performed is provided to persons authorized to perform required inspections in accordance with the certificate holders design.   <i>Sources:</i> Sources: 121.135(a)(1); 121.369(b)(6); 121.37</li> </ol>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable



	<p>4. Check, at the training center, through course observation, that training on procedures to prevent any decision of an inspector, regarding any required inspection from being countermanded by persons other than supervisory personnel of the inspection unit is provided to persons authorized to perform required inspections in accordance with the certificate holders design.</p> <p><i>Sources:</i> Sources: 121.135(a)(1); 121.369(b)(8); 121.375</p> <p>5. Check, at the training center, through course observation, that training on procedures to prevent any decision of an inspector, regarding any required inspection from being countermanded by persons other than a person at that level of administrative control that has overall responsibility for the management of both the required inspection functions and the other maintenance, preventive maintenance, and alterations functions is provided to persons authorized to perform required inspections in accordance with the certificate holders design.</p> <p><i>Sources:</i> Sources: 121.135(a)(1); 121.369(b)(8); 121.375</p> <p>6. Check, at the training center, through course observation, that training on procedures to ensure that required inspections that are not completed as a result of shift changes or similar work interruptions are properly completed before the aircraft is released to service is provided to persons authorized to perform required inspections in accordance with the certificate holders design.</p> <p><i>Sources:</i> Sources: 121.135(a)(1); 121.369(b)(9); 121.375</p> <p>7. Check, at the training center, through course observation, that training on method of performing required inspections is provided to persons authorized to perform required inspections in accordance with the certificate holders design.</p> <p><i>Sources:</i> Sources: 121.135(a)(1); 121.369(b)(3); 121.375</p> <p>8. Check, at the training center, through course observation, that training on procedures for the reinspection of work performed pursuant to previous required inspection findings (buy-back procedures), is provided to persons authorized to perform required inspections in accordance with the certificate holders design.</p> <p><i>Sources:</i> Sources: 121.135(a)(1); 121.369(b)(4); 121.375</p> <p>9. Check, at the training center, through course observation, that training on rejection of the items required to be inspected is provided to persons authorized to perform required inspections in accordance with the certificate holders design.</p> <p><i>Sources:</i> Sources: 121.135(a)(1); 121.369(b)(5); 121.375</p> <p>10. Check, at the records repository, that acceptability of the contractors RII training syllabus was determined in accordance with the certificate holders design.</p> <p><i>Sources:</i> FAA Order 8900.1, Vol 3, Chapter 24, Section 1</p>	
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1.14	<p>Did the training program inform maintenance and inspection personnel about procedures for re-inspection of work performed pursuant to previous required inspection findings (buy-back procedures)?</p> <p>Updated: Rev # 3 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.15	<p>Did the training program inform maintenance and inspection personnel about procedures, standards, and limits necessary for the acceptance or rejection of required inspection items?</p> <p>Updated: Rev # 3 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.16	<p>Did the training program inform maintenance and inspection personnel about procedures to ensure that all required inspections are done?</p> <p>Updated: Rev # 3 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.17	<p>Did the training program inform maintenance and inspection personnel that no person may perform a required inspection if they performed the item of work required to be inspected?</p> <p>Updated: Rev # 6 on 06/23/2014 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.18	<p>Did the training program inform maintenance and inspection personnel about methods for required inspections that are not completed because of shift changes or similar work interruptions, are properly completed before the aircraft is released to service?</p> <p>Updated: Rev # 3 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.19	<p>Did the training program inform maintenance and inspection personnel about methods that prevent a required inspection decision from being countermanded by anyone other than supervisory personnel of the inspection unit?</p> <p>Updated: Rev # 3 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.20	<p>Did the training inform maintenance and inspection personnel that required inspections may only be done by those who are:</p> <ul style="list-style-type: none"> <li>• Appropriately certificated,</li> <li>• Qualified,</li> <li>• Authorized, and</li> <li>• Under the supervision of an inspection unit at the time of the inspection?</li> </ul> <p>Updated: Rev # 8 on 07/24/2015 Kind Of Question: Flag, Supplemental, Domestic</p> <p><i>Related Performance JTIs:</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable



	<ol style="list-style-type: none"> <li>1. Check, at the training facility, that a statement, that RII students are appropriately qualified exists in accordance with the certificate holders design.  <i>Sources:</i> FAA Order 8900.1, Vol 3, Chapter 24, Section 1</li> <li>2. Check, at the training facility, that a statement, that RII students are appropriately authorized exists in accordance with the certificate holders design.  <i>Sources:</i> FAA Order 8900.1, Vol 3, Chapter 24, Section 1</li> <li>3. Check, at the training facility, that a statement, that RII students are appropriately certificated, exists in accordance with the certificate holders design.  <i>Sources:</i> FAA Order 8900.1, Vol 3, Chapter 24, Section 1</li> <li>4. Check, at the training facility, that a statement, that RII students are current as airframe and/or powerplant mechanics or appropriately certificated repairmen, exists in accordance with the certificate holders design.  <i>Sources:</i> FAA Order 8900.1, Vol 3, Chapter 24, Section 1</li> </ol>	
1.21	<p>Did the training inform maintenance and inspection personnel about recurrent and on-the-job (OJT) training requirements?</p> <p>Updated: Rev # 3 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.22	<p>Were training facilities and training aids used in the maintenance and inspection courses adequate?</p> <p>Updated: Rev # 3 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> <li>1. Check, at the training center, that a syllabus describing the training aids is maintained in accordance with the certificate holders design  <i>Sources:</i> FAA Order 8900.1, Vol 3, Chapter 24, Section 1</li> <li>2. Check, at the training center, through course observation, that the training aids described match information provided on the certificate holders RII an maintenance training syllabus.  <i>Sources:</i> FAA Order 8900.1, Vol 3, Chapter 24, Section 1</li> <li>3. Check, at the records repository, that adequacy of contract training facilities was determined in accordance with the certificate holders design.  <i>Sources:</i> FAA Order 8900.1, Vol 3, Chapter 24, Section 1</li> </ol>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.23	Was the training provided accepted and/or approved in accordance with the	<input type="checkbox"/> Yes



	<p>training program's policies and procedures?</p> <p>Updated: Rev # 3 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> <li>Check, at the training center, that the RII and maintenance training programs were accepted by the FAA in accordance with the certificate holders design.  <i>Sources:</i> FAA Order 8900.1, Vol 3, Chapter 24, Section 1</li> <li>Check, at the training center, that RII and maintenance training programs was approved by the responsible manager in accordance with the certificate holders design.  <i>Sources:</i> FAA Order 8900.1, Vol 3, Chapter 24, Section 1</li> <li>Check, at the training center, that the RII and maintenance training programs contained a list of effective pages showing the FAA acceptance date in accordance with the certificate holders design.  <i>Sources:</i> FAA Order 8900.1, Vol 3, Chapter 24, Section 1</li> </ol>	<input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.24	<p>Did the operator follow policies, procedures, instructions, and information for this element?</p> <p>Updated: Rev # 3 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.25	<p>Did the operator follow controls for this element?</p> <p>Updated: Rev # 3 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.26	<p>Did the records for this element comply with the instructions?</p> <p>Updated: Rev # 3 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.27	<p>Were the process measurements for this element:</p> <ul style="list-style-type: none"> <li>Effective in identifying actual or potential problems, and</li> <li>Did the operator identify and take corrective action for identified problems?</li> </ul> <p>Updated: Rev # 3 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.28	<p>Did the operator follow its method for evaluating the impact of changes in this process to other related processes that interface with this process?</p> <p>Updated: Rev # 5 on 09/30/2013 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable <input type="checkbox"/> Not Observable



1.29	<p>Did the observed interactions between personnel accomplishing interfacing processes produce the desired result?</p> <p>Updated: Rev # 5 on 09/30/2013 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
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<b>EPI SECTION 1 - PERFORMANCE OBSERVABLES</b> <b>Drop-Down Menu</b>	
1.	Personnel.
2.	Tools and Equipment.
3.	Technical Data.
4.	Policies, procedures, instructions, or information.
5.	Materials.
6.	Facilities.
7.	Controls.
8.	Process Measures.
9.	Interfaces.
10.	Desired Outcome.
11.	Other.



## EPI SECTION 2 - MANAGEMENT RESPONSIBILITY & AUTHORITY OBSERVABLES

### Objective:

Answers to questions in this section address the responsibility and authority of the people who manage this process. They will help determine if there is a qualified and knowledgeable person who:

- Is responsible for the process,
- Is answerable for the quality of the process,
- Has the authority to establish and modify the process.

**Note:** The person with the authority may or may not be the person with the responsibility.

### Tasks

	The inspector shall accomplish the following tasks:
1	Identify the person who has overall responsibility for the processes associated with this element.
2	Identify the person who has overall authority for the processes associated with this element.
	<b>Note:</b> If there have been no major changes in key personnel or the program since the last SAI or EPI was accomplished, then only answer questions 1 and 2 below, and select "No Change" (N/C) for the remaining questions. If changes have occurred that affect the responsibility or authority attributes for this element, then accomplish all tasks and answer all questions.
3	Review the duties and responsibilities for the person(s) who manage the processes associated with this element.
4	Review the appropriate organizational chart.
5	Discuss the processes associated with this element with the management personnel identified in tasks 1 and 2.
6	Review the qualifications and work experience of the management personnel identified in tasks 1 and 2.

### Questions

2.1	Is the identified person who is responsible for the quality of the processes associated with this element actively filling that position?  Updated: Rev # 3 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
2.2	Is the identified person who has authority to establish and modify the operator's policies, procedures, instructions and information for the processes associated with this element actively filling that position?  Updated: Rev # 3 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
2.3	Does the responsible person know that he/she has responsibility for the processes associated with this element?  Updated: Rev # 3 on 12/03/2009	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change <input type="checkbox"/> Not Observable



	Kind Of Question: Flag, Supplemental, Domestic	
2.4	Does the person with authority know that he/she has authority for the processes associated with this element?  Updated: Rev # 3 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change <input type="checkbox"/> Not Observable
2.5	Does the person with responsibility for the processes associated with this element meet the qualification and work experience standards?  Updated: Rev # 3 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change <input type="checkbox"/> Not Observable
2.6	Does the person with authority to establish and modify the processes associated with this element meet the qualification and work experience standards?  Updated: Rev # 3 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change <input type="checkbox"/> Not Observable
2.7	Does the person with responsibility understand the controls, process measurements, and interfaces associated with this element?  Updated: Rev # 3 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change <input type="checkbox"/> Not Observable
2.8	Does the person with authority understand the controls, process measurements, and interfaces associated with this element?  Updated: Rev # 3 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change <input type="checkbox"/> Not Observable
2.9	Does the person with responsibility know who has authority to establish and modify the processes associated with this element?  Updated: Rev # 3 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change <input type="checkbox"/> Not Observable
2.10	Does the person with authority know who has the responsibility for the processes associated with this element?  Updated: Rev # 3 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change <input type="checkbox"/> Not Observable

EPI SECTION 2 - MANAGEMENT RESPONSIBILITY & AUTHORITY OBSERVABLES Drop-Down Menu	
1.	Assignment of responsibility.
2.	Assignment of authority.
3.	Does not understand policies, procedures, instructions, or information.
4.	Does not understand controls.
5.	Does not understand process measurements.
6.	Does not understand interfaces.



7.	Span of control.
8.	Position vacant.
9.	Other.